

Vendor Monitoring Form

Instructions: Before visiting the store, review the vendor file to see if there are problem areas or training needs; for instance, problems with issuance of pick-up slips, warrant redemption, stocking requirements, authorized foods or other issues that may have resulted in warnings or sanctions. In rural areas, be prepared to provide store managers with information regarding current participation levels and stocking requirements. Information on vendor warnings or sanctions may be viewed on the AK WIC report # 602 or contact the State Vendor Staff for assistance, if necessary.

Please complete all information on this form thoroughly and accurately as it will be used to update vendor records at the State WIC Office.

Store Name _____ Vendor No. _____ Date _____

Address _____

Store Manager _____ Phone No. _____ Fax No. _____

Name of Reviewer _____ Title _____

Please check if this vendor is exempt from the requirement to stock:

_____ fresh milk _____ infant cereal and formula

PART I: ON-SITE MONITORING

A. **Interview with Store Manager/Representative:** Name _____

Title _____ Signature _____

1. Who has current ownership or corporate management of the store?

2. How long has current manager been working at the store?

3. What does he/she feel are the benefits of the WIC Program?

4. How are WIC warrants processed by the store.

____ Yes ____ No Are WIC warrants audited for errors?

By whom _____ ; How often _____

____ Yes ____ No Can warrants be traced to a cashier?

Who follows up on warrant errors _____

____ Yes ____ No Ask to see WIC warrants redeemed that day. Are warrants filled out properly and used within allowable time frame?

____ Yes ____ No Select one or two redeemed warrants and compare the total price written on the warrant(s) with the actual shelf prices for the items listed. Is the price written on the warrant(s) less than or equal to the highest possible price? (Assume all items on the warrant were purchased and the highest-priced items available were selected.)

____ Yes ____ No During the past year has store been requested to reimburse the State for warrants redeemed improperly or outside valid dates?

If warrants are not processed properly, what steps are taken to reduce warrant processing errors or reduce amount of penalties due to warrants redeemed outside of valid dates?

5. FOR RURAL VENDORS ONLY

(a) Have any WIC Food Pick-Up Slips been issued at the store? ____ yes ____ no

(b) If yes, inspect the store's *yellow* copies to see if they are completed correctly. Note any problems found, (such as multiple items or warrants on a slip, incorrect total prices, missing signatures or dates, or slips signed by participants *before* items are received). Review correct procedures with manager and/or employees and describe topics reviewed.

(c) If no slips have been issued, does the store have any stock of unused pick up slips? ____ yes ____ no Are they stored in a safe place? ____ yes ____ no

(d) Are participants being required to bring the *white* copies of pick-up slips to the store when they pick-up their items?

(e) How is store documenting the date that items are received by participants?

(f) Are participants allowed to pick-up items after the last valid date of their warrants?

____ yes ____ no

(g) If the store has issued several pick-up slips per month on a regular basis, ask the manager why this is happening on a regular basis and how it can be resolved to assure that the store stocks adequate inventory of WIC foods.

(h) Randomly select a participant who has been issued a pick-up slip. Call the participant to verify if he/she has received the items on the pick-up slip.

6. Are there any problems with WIC customers or any other aspects of the Program? If so, describe:

7. Does he/she have any suggestions for improving the Program?

8. Is he/she aware of the WIC Program complaint form? ____ yes ____ no

9. If problems were identified during the monitoring visit, how does he/she plan to correct these problems?

B. Observations During Store Visit:

1. Are posters such as "We Accept WIC Warrants" displayed at the store indicating it is a WIC vendor? ____ yes ____ no
2. Does the store display WIC shelf tags to identify WIC-approved items? ____ yes ____ no
3. During the visit, did reviewer observe questionable treatment of a WIC participant or improper processing of a WIC warrant? If so, please describe:
4. Is store clean and well-organized?
5. Are perishable items stored under proper conditions and temperatures?

C. Interview with Cashier(s):

1. If possible, interviews with more than one cashier should be completed. Ask cashier(s) to briefly go over how he/she handles a WIC transaction. Check steps completed during transaction:

____ asks to see I.D. card
____ checks dates on warrant
____ separates WIC foods
from other purchases

____ checks amounts and brands
____ makes sure amount is filled in
____ checks for client's signature

2. Ask one or two cashiers to complete the cashier quiz, if it does not interfere with customer flow.

D. Training:

1. How do store employees learn about the WIC Program and receive training in WIC procedures? When was "in-house" cashier training last done?
2. Does the store provide WIC Vendor Manual, vendor guide, list of WIC foods, and warrant redemption procedures to cashiers?
3. Circle the types of training media that store employees have access to:
VCR/video Computer (CD-rom, DVD, or on-line) Teleconference
4. Was training conducted during the monitoring visit? _____ Yes _____ No
If no, when can training be scheduled? _____ (Federal regulations require that WIC vendors be trained regularly.)
If yes, list the topics discussed as well as the names of attendees.

Topics:

Attendees:

_____	_____
_____	_____
_____	_____
_____	_____

E. Check the store's minimum stock inventory using the checklist on the next page.

Minimum Stock Requirements

Food Item	Type of Inventory	Quantities required to stock	Minimum Stock	
			Yes	No
MILK	Fluid Milk (Whole/Skim/Low Fat): gallon and half gallon <u>or</u> UHT: quart package <u>or</u> Nonfat dry: quart package <u>or</u> Evaporated: 12 oz can	Total of 18 gallons fluid milk Total of 54 quarts Total of 80 quarts when reconstituted Total of 96 - 12 oz cans		
CHEESE	Two varieties from the WIC Food List: No packages smaller than 8 ounces	Total of 8 pounds		
CEREAL	Five varieties (four cold, one hot) from the WIC Food List: Minimum box size 8 ounces	Total of 12 boxes		
EGGS	Small, medium or large. White only	Total of 8 dozen		
JUICES	Three varieties from the WIC Food List: frozen, concentrate or canned	Equivalent combination of: 24 – 11.5/12 oz frozen/conc, or 24 - 46 oz cans		
CARROTS	Fresh, frozen (plain), or canned (plain)	4 - 2 lb. bags fresh, or 8 - 1 lb. bags frozen, or 8 - 14.5 oz cans		
SALMON & TUNA	Pink, canned <u>and</u> Plain, packed in oil (no olive oil) or water	8-14.75 oz cans 16 - 6.25 oz cans		
DRIED BEANS, PEAS, LENTILS & MIXED BEANS	Two varieties from the WIC Food List	4 - 1 pound bags		
PEANUT BUTTER	Low sodium, Low sugar allowed. No low fat, or added marshmallow, jelly, honey or molasses. No organic.	4 - 18 oz jars		
INFANT CEREAL	Two cereal grains: 8 oz or 16oz boxes (one must be rice) Gerber, Heinz and Beechnut brands only.	Total of 12 boxes		
INFANT FORMULA	WIC contract formula (milk base <u>and</u> soy base) in powder and concentrate form (*Not required in small villages if there are no participants using them. Local WIC agency will inform vendors if there is need to stock items. Vendor must stock items within 72 hours of local WIC agency request.)	Total of 32 – 14.3 oz cans Enfamil powder Total of 9 - 14 .3 oz cans Enfamil Prosobee powder* Total of 18 – 14.3 oz cans Enfamil Lactofree powder* Total of 16- 13 oz cans Enfamil Prosobee concentrate* Total of 31-13 oz cans Enfamil concentrate*		

Vendors in rural locations with population of less than 5,000 are required to stock UHT, powdered and evaporated milk only, and are not required to stock fresh milk, infant formula or infant cereal. Local WIC agency will inform vendors if infant formula and infant cereal is needed to be stocked. Vendor must stock items within 72 hours of Local WIC agency request. Pharmacies must maintain a minimum formula stock and must provide special formula(s) within 72 hours.

PART II: AFTER THE ON-SITE VISIT

- A. Describe general impressions from the actual visit:
- B. Is stock adequate for the average number of WIC participants served by this store?
- C. Describe any problem areas:

- D. Based on participant complaints and on-site monitoring visit, has this vendor:

YES NO NOT
 Sure

___	___	___	Provided cash or credit for food instruments?
___	___	___	Provided non-food items for WIC food items?
___	___	___	Provided unauthorized food items?
___	___	___	Charged WIC customers more for food than non-WIC customers?
___	___	___	Charged for food items not received?
___	___	___	Charged State for food provided in excess of foods on warrants?
___	___	___	Redeemed warrants before or after the 30-day period specified?
___	___	___	Charged State for pick-up slip items not received by participants?

- E. Reviewer's recommendations: (Briefly describe reason(s) for recommending authorization or non-reauthorization of Vendor agreement.)

F. Signature of Reviewer _____ Date _____